

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

APPLICANT: Steven M.H. Wallman  
SERIAL NO.: 10/627,626  
FILING DATE: July 28, 2003  
EXAMINER: Mr. Daniel Lawson Greene  
ART UNIT: 3694  
TITLE: METHOD AND APPARATUS FOR ENABLING INDIVIDUAL OR  
SMALLER INVESTORS OR OTHERS TO CREATE AND MANAGE A  
PORTFOLIO OF SECURITIES . . .  
ATTY. DOCKET: 10392/460043  
Mail Stop: Amendment  
Commissioner for Patents  
Post Office Box 1450  
Alexandria, VA 22313

**STATEMENT OF SUBSTANCE OF INTERVIEW**

Sir:

Applicant thanks Examiner Greene for the courtesies extended at the telephonic interviews with Applicant's representatives on October 30, 2008, and provide this Statement of Substance of Interview in compliance with M.P.E.P. 713.04:

- (A) Exhibits. No exhibit / demonstration was shown / conducted.
- (B) Claims. The pending claims were discussed.
- (C) Prior art. There was a discussion of the cited prior art references.
- (D) Amendments. Amendments to the claims were discussed.
- (E) Principal arguments by Applicant. The proposed amendments make the claims allowable, for the same reasons as set forth in the response to the office action filed on December 9, 2008.
- (F) Other matters. Not applicable.

- (G) Agreement. The Examiner indicated that the proposed amendments as discussed would appear to make the claims allowable.

Although not believed necessary, the Office is hereby authorized to charge any additional fees required under 37 C.F.R. § 1.16 or § 1.17 or credit any overpayments to Deposit Account No. 11-0600.

The Examiner is invited to contact the undersigned at 202-220-4200 to discuss any matter regarding this application.

Respectfully submitted,

KENYON & KENYON LLP

Date: December 9, 2008

/Brian S. Mudge/  
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